



<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application No.	10/666,482
		Filing Date	September 18, 2003
		First Named Inventor	Koji Yamada
		Art Unit	
		Examiner Name	
Total Number of Pages in This Submission	15	Attorney Docket Number	96790P442

ENCLOSURES (check all that apply)		
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Eric S. Hyman, Reg. No. 30,139 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	10/10/03

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Docket No.: 96790P442

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

KOJI YAMADA, ET AL.

Application No.: 10/666,482

Filed: September 18, 2003

For: **Optical Module and Manufacturing  
Method Therefor**

Art Group:

Examiner:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
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In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted within three (3) months of filing of the application. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

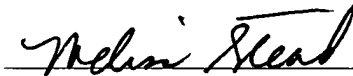
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**INFORMATION DISCLOSURE  
 STATEMENT BY APPLICANT**  
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of

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Application Number

Filing Date

First Named Inventor

Art Unit

Examiner Name

Attorney Docket Number

**U.S. PATENT DOCUMENT**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code <sup>2</sup> (if known)		
		US			
		US			
		US			

**FOREIGN PATENT DOCUMENT**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
		JP	10-122341	A	05-15-1998	HONDA MOTOR CO LTD	ABST
		JP	2002-122750	A	04-26-2002	NTT CORPORATION	ABST

**OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium catalog, etc.), date, page(s), volume—issue number(s), publisher, city and/or country where published.	Translation <sup>6</sup>
		Shoji et al., "Optical International Structure of Si Waveguide on SOI Substrate", Extended Abstract (the 48 Spring Meeting, 2001) No.3, The Japan Society of Applied Physics and Related Societies (30a-YK-11)	
		Lee et al., "Fabrication of ultralow-loss Si/SiO <sub>2</sub> waveguides by roughness Reduction", OPTICS LETTERS, Vol. 26, NO. 23, December 1, 2001, Optical Society of America, pp. 1888 – 1890	
		Rickman et al., "Silicon-on-Insulator Optical Rib Waveguide Loss and Mode Characteristics", JOURNAL OF LIGHTWAVE TECHNOLOGY, VOL. 12, NO. 10, October 1994, IEEE, PP. 1771 – 1776	
		Lee et al., "Effect of size and roughness on light transmission in a Si/SiO <sub>2</sub> waveguide: Experiments and model", APPLIED PHYSICS LETTERS, VOLUME 77, NUMBER 11, 11 SEPTEMBER 2000, American Institute of Physics, pp. 1617 – 1619	
		Sakai et al., "Propagation Characteristics of Ultrahigh-Δ Optical Waveguide on Silicon-on Insulator Substrate", Jpn. J. Appl. Phys., Vol. 40, Part 2, No. 4B, 15 April 2001, pp. L383 – L385	
		Yamada et al., "SOI-based Photonic Crystal Line-Defect Waveguides", Invited Paper of Active and Passive Optical Components for WDM Communications II, Proceedings of SPIE, Vol. 4870 (2002)	

Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP901.04 or in the comment box of this document. <sup>3</sup>Enter office that issued the document, by the two-letter code (WIPO Standard ST.3) <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. <sup>6</sup>Applicant is to indicate here if English language Translation is attached.